



RECORDS RETENTION AND DISPOSITION SCHEDULE

Health, Department of. Maternal and Child Health. Newborn Screening.

Agency: Health, Department of		Division: Maternal And Child Health Division	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
1	2002-43	CASE FILES-SICKLE CELL ANEMIA Pursuant to 410 IAC 3-3-1, this is one of several diseases for which newborn infants are screened. A typical case file contains testing information, follow-up tracking for patients who test positive for the disease, and related correspondence. A case can be closed out when State Department of Health follow-up is complete, the parent is counseled, the infant is no longer living or follow-up attempts have been unsuccessful. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9) and 410 IAC 3-3-6. Retention based on IC 34-11-6-1.	TRANSFER to the RECORDS CENTER three (3) years after the case is closed out. TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional twenty (20) years in the RECORDS CENTER. TOTAL RETENTION prior to INDIANA ARCHIVES TRANSFER: Twenty-three (23) years after the case is closed-out.
2	2002-44	CASE FILES-ALL OTHER REQUIRED DISEASE TESTING These are similar to Sickle Cell Anemia testing but are maintained separately from the Sickle Cell case files. A typical file could contain the Indiana University Hospital Lab form, Progress Notes and Data, a request for assistance, an Infant Reporting Sheet, no State Form Number shown; numerous other notes, letters, memos, etc. Cases are closed out in the same manner as the Sickle Cell Anemia Case File. A sample status report for non-Sickle Cell testing is also included. Extensive personally identifiable -statistics are also present. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) & (9), (Version b, 2008 Indiana General Assembly); and [410 IAC 3-3-6, (July 23, 2008 Update.) Retention based on IC 34-11-6-1, (2004 Edition)	TRANSFER to the RECORDS CENTER three (3) years after the case is closed out. TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional twenty (20) years in the RECORDS CENTER. TOTAL RETENTION PRIOR TO INDIANA ARCHIVES TRANSFER: Twenty-three (23) years after the case is closed out.
3	2002-46	MONTHLY SUMMARY REPORT OF NEWBORN SCREENING A hospital report of names and number of newborn infants screened, used to identify infants who still need screening, for follow-up of infants transferred to another hospital, to develop case reports, and to create a hospital summary log. Disclosure of these records may be subject to IC 5-14-3-4(a) (3) and (9) and 410 IAC 3-3-6. Retention partially consistent with IC 16-39-7-1(b).	TRANSFER to the RECORDS CENTER one (1) year after the year of the report. TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional seven (7) years in the RECORDS CENTER. TOTAL RETENTION PRIOR TO INDIANA ARCHIVES TRANSFER: Eight (8) years after the year of the report.
4	2002-48	MEDICAL LAB REPORT The Indiana University-Newborn Screening lab sends a monthly report to the Newborn Screening Section of the Children With Special Health Care Needs Program. The report includes screening data of each birthing hospital, a confirmed positive case list, Quantity Not Sufficient status, and detailed screening logs, including the infant's name, date of birth, lab testing result, and the mother's name and address. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9), (Version b, 2008] Indiana General Assembly), and 410 IAC 3-3-6, (July 23, 2008 Update), Retention partialy consistent with IC 16-39-7-1(b), (2004 Edition)	TRANSFER to the RECORDS CENTR one (1) year after the year of the report. TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional seven (7) years in the RECIORDS CENTER. TOTAL RETENTION PRIOR TO INDIANA ARCHIVES TRANSFER: Eight (8) years after the year of the report.

5	2002-50	NEWBORN SCREENING FOLLOW-UP Pursuant to IC 16-41-17-8 thru IC 16-41-17-10, 2004 Edition and 2001 IC Supplement, each hospital and physician shall take or cause to be taken a blood sample from every infant born under the hospital's and physician's care; and...the State Department of Health shall develop follow-up procedures. A typical file will contain hospital cards, blood test information, personally identifiable patient information on follow-up cocontacts to a parent or parents, and information about whether this was a problem birth or if repeat testing is needed. The Finance Division of the State Department of Health maintains any contract support data. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9), (Version b, 2008 Indiana General Assembly); and 410 IAC 3-3-6, (July 23, 2008 Update) Retention based on IC 34-11-6-1, (2004 Edition)	TRANSFER to the RECORDS CENTER three (3) years after closure of the case. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional twenty (20) years in the RECORDS CENTER. TOTAL RETENTION PRIOR TO INDIANA ARCHIVES TRANSFER: Twenty-three (23) years after closure of the case.
6	2002-51	NEWBORN SCREENING GRANT PROGRAMS The State Department of Health may grant funds to local agencies via an application for Newborn Screening funds. Extensive project information is to be submitted as well as program objectives and a proposed budget and other required information. A typical file will have multiple copies of the grant application, all attachments, bi-annual performance reviews and reports, and reports of quarterly Newborn Screening staff meetings with the grantee. Any personally identifiable medical records are separate from grant files and maintained with the appropriate case files. Retention based on IC 34-13-1-1, (2004 Edition)	TRANSFER to the RECORDS CENTER after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional ten (10) State Fiscal Years in the RECORDS CENTER. TOTAL RETENTION prior to INDIANA ARCHIVES TRANSFER: Ten (10) State Fiscal Years and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
7	2002-45	FOLLOW-UP COMPUTER PRINTOUTS This computer report has the record number, infant name and date of birth, lab results and follow-up and close-out dates. The report is received each month and also has extensive statistics totaling the number of infants screened for diseases and traits, referrals and follow-ups. An annual statistical report, GRPUB-1 on the General Retention Schedule for All Agencies, is created from the monthly reports. Disclosure of these records may be subject to IC 5-14-3-4(a)(3) and (9), (Version b, 2008 Indiana General Assembly) and 410 IAC 3-3-6, (July 23, 2008 Update) Retention partially consistent with IC 16-39-7-1(b), (2004 Edition)	TRANSFER to the RECORDS CENTER after the case is closed out. TRANSFER to the INDIANA ARCHIVES, for EVALUATION, SAMPLING or WEEDING pursuant to archival principles after an additional eight (8) years in the RECORDS CENTER. TOTAL RETENTION PRIOR TO INDIANA ARCHIVES TRANSFER: Eight (8) years after the case is closed-out.
8	2002-47	HOSPITAL SUMMARY LOG Since some hospitals do not submit the monthly summary report on a timely basis, a computer-generated monthly and yearly log is produced. The log will indicate which reporting hospitals are timely and which ones need further contact.	DESTROY four (4) years after the year of the report.